

**NEW UTILITY PATENT APPLICATION TRANSMITTAL  
(Large Entity)**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Docket No.  
BU9-98202

Total Pages in this Submission

3

**TO THE ASSISTANT COMMISSIONER FOR PATENTS**Box Patent Application  
Washington, D.C. 20231

Transmitted herewith for filing under 35 U.S.C. 111(a) and 37 C.F.R. 1.53(b) is a new utility patent application for an invention entitled:

**Ultra-Fine Contact Alignment**

and invented by:

Thomas G. Ference and Wayne J. Howell

**If a CONTINUATION APPLICATION**, check appropriate box and supply the requisite information:

Enclosed are:

**Application Elements**

1. ☒ Filing fee as calculated and transmitted as described below
2. ☒ Specification having thirty-seven (37) pages and including the following:
  - a. ☒ Descriptive Title of the Invention
  - b. ☐ Cross References to Related Applications (if applicable)
  - c. ☐ Statement Regarding Federally-sponsored Research/Development (if applicable)
  - d. ☐ Reference to Microfiche Appendix (if applicable)
  - e. ☒ Background of the Invention
  - f. ☒ Brief Summary of the Invention
  - g. ☒ Brief Description of the Drawings (if applicable)
  - h. ☒ Detailed Description
  - i. ☒ Claim(s) as Classified Below
  - j. ☒ Abstract of the Disclosure
3. ☒ Drawing(s) (when necessary as prescribed by 35 USC 113)
  - a. ☐ Formal
  - b. ☐ Informal

Number of Sheets six (6)

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3**Application Elements (Continued)**

4. ☒ Oath or Declaration
- a. ☒ Newly executed (original or copy) ☐ Unexecuted
- b. ☐ Copy from a prior application (37 CFR 1.63(d)) (for continuation/divisional application only)
- c. ☒ With Power of Attorney ☐ Without Power of Attorney
5. ☐ Incorporation By Reference (usable if Box 4b is checked)  
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.
6. ☐ Computer Program in Microfiche (Appendix)
7. ☐ Nucleotide and/or Amino Acid Sequence Submission (if applicable, all must be included)
- a. ☐ Paper Copy
- b. ☐ Computer Readable Copy (identical to computer copy)
- c. ☐ Statement Verifying identical Paper and computer Readable Copy

**Accompanying Application Parts**

8. ☒ Assignment Papers (cover sheet and document(s))
9. ☐ 37 CFR 3.73(B) Statement (when there is an assignee)
10. ☐ English Translation Document (if applicable)
11. ☐ 37 CFR 3.73(B) Statement (when there is an assignee)
12. ☐ Preliminary Amendment
13. ☒ Acknowledgement postcard
14. ☒ Certificate of Mailing  
☐ First Class ☒ Express Mail (Specify Label No.): EL046030176US
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)

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Submission 3

Accompanying Application Parts (Continued)

16. ☒ Additional Enclosures (please identify below):

Information Disclosure Statement, Form PTO-1449 and 3 references

Fee Calculation and Transmittal

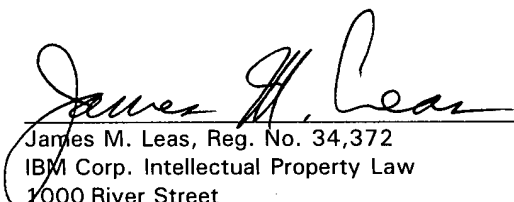
CLAIMS AS FILED

For	#Filed	#Allowed	#Extra	Rate	Fee
Total Claims	53	20	33	x18	\$594.00
Indep Claims	2	3	0	x78	\$0.00
Multiple Dependent Claims (check if applicable) <input type="checkbox"/>					\$0.00
BASIC FEE					\$760.00
OTHER FEE (specify purpose)					\$0.00
TOTAL FILING FEE					\$1,354.00

- ☐ A check in the amount of \_\_\_\_\_ to cover the filing fee is enclosed.
- ☒ The Commissioner is hereby authorized to charge and credit IBM Corporation Deposit Account No. 09-0456 as described below. A duplicate copy of this sheet is enclosed.
- ☒ Charge the amount of \$1,354.00 as filing fee.
- ☒ Credit any overpayment.
- ☒ Charge any additional filing fees required under 37 C.F.R. 1.16 and 1.17.
- ☐ Charge the issue fee set in 37 C.F.R. 1.18 at the mailing of the Notice of Allowance, pursuant to 37 C.F.R. 1.311(b).

Date:

3/3/99

  
James M. Leas, Reg. No. 34,372  
IBM Corp. Intellectual Property Law  
1000 River Street  
Essex Junction, VT 05452  
Telephone (802) 769- 9824

PATENT APPLICATION SERIAL NO. \_\_\_\_\_

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE  
FEE RECORD SHEET

03/15/1999 ASELMAN 00000094 090456 09261328

01 FC:101	760.00 CH
02 FC:103	594.00 CH

**CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)**Applicant(s): **Ference et al.**

Docket No.

**BU9-98-202**

Serial No.

Filing Date

Examiner

Group Art Unit

Invention: **ULTRA-FINE CONTACT ALIGNMENT**jc525 U.S. PT  
09/26/98

03/03/99

I hereby certify that this **New Patent Application and related documents***(Identify type of correspondence)*

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under  
37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on  
**March 3, 1999**  
*(Date)*

**Arnette Dodge***(Typed or Printed Name of Person Mailing Correspondence)**Arnette Dodge**(Signature of Person Mailing Correspondence)***EL046030176US***("Express Mail" Mailing Label Number)***Note: Each paper must have its own certificate of mailing.**